Maricopa County

Deputy County Manager's Office – Policy and Compliance

To: Max Wilson, Chairman, District 4
Fulton Brock, Supervisor, District 1
Don Stapley, Supervisor, District 2
Andy Kunasek, Supervisor, District 3
Mary Rose Wilcox, Supervisor, District 5

Via: Sandi Wilson
Deputy County Manager

From: Rebekah Francis
Policy and Compliance, Office of Deputy County Manager

Date: August 6, 2012

Subject: 4th Quarter FY 2012 Report on the Status of the Resolution of the Board of Supervisors of Maricopa County Concerning the Oversight and Review of the Maricopa County Sheriff's Department

On June 20, 2011 the Board of Supervisors passed the attached "Resolution of the Board of Supervisors of Maricopa County Concerning the Oversight and Review of the Maricopa County Sheriff's Department" (the "Resolution"). Pursuant to Section 6 of the Resolution the Office of Management and Budget ("OMB"), in concert with the Maricopa County Sheriff's Office ("MCSO"), Internal Audit, Risk Management and the Office of Enterprise Technology ("OET") (collectively the "Tasked Departments"), submits this report as the Quarterly Report for the 4th Quarter FY 2012.

IMPLEMENTATION PROCESS

Representatives from each Tasked Department continue to meet monthly to discuss the actions of sub-groups in the previous weeks. Although they are not "tasked departments", both the Maricopa County Attorney's Office and the Office of Procurement Services continue to provide assistance.

REPORT OF RESOLUTION TASKS

A review of each of the Resolution tasks and the progress made since the last report are discussed below.

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I. **INTERNAL AUDIT** – *Responsible Parties: Ross Tate (Audit)/Various (MCSO)*

Internal Audit continues its reviews of various items. An update on the audits done in FY 2012 is below.

Highlights of FY 2012 MCSO Audits

MCSO Risk Assessment - FY2012

We conducted a systematic analysis of key risks that could affect MCSO's achievement of its objectives and goals. The assessment was an analysis of what could go wrong, how likely it is to happen, and what impact it would have. This purpose of the risk assessment was to prioritize and schedule areas to be audited. We identified the following areas as high risk and have, or will, incorporate them into our annual audit plans.

- Patrol
- General Investigations
- Enforcement Support
- Weapons and Ammunition
- Detention (Detention Centers, Custody Support, Classification, and Intake)
- Communications
- Training
- Personnel Services
- Finance (Risk Management, Procurement, Reporting, and Budget Development)
- IT Governance and Application Development

MCSO Payroll Audit - FY2012

Why We Did This Review

The largest annual expenditure of the Maricopa County Sheriff's Office is payroll ($220 million), for 3,550 employees. The purpose of this review was to determine if payroll transactions and personnel transfers are processed accurately and funded appropriately.

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How We Did This Review
- Reviewed paycheck data for 245 MCSO employees for two pay periods, which included 8,072 time entries, totaling $876,000 or 7.3% of MCSO's total payroll for the two pay periods.

- Interviewed MCSO Human Resources and field administration staff responsible for time reporting, and staff from County Human Resources, Compensation, and OMB.

- Reviewed MCSO's process for transferring personnel and time reporting.

- Tested a sample of personnel transfers for accuracy and validity.

- Reviewed transactions for sworn officers paid from the Detention Fund.

What We Found
- Use of correct funding source has improved

- Supervisors are not always approving employee's time

- Payroll is mostly accurate

What We Recommended
- Strengthen internal controls over personnel transfers, including the use of required forms to document and approve employee transfers.

- Develop and implement a requirement for direct supervisor approval of reported time.

- Align MCSO policies with County policies, and develop procedures to ensure consistency.

Patrol IGA Audit - FY2012

Why We Did This Review
The Sheriff's Office Patrol Service Agreements generate $10 million in County revenues annually. The purpose of this review was to determine the extent of MCSO financial accountability and compliance with these agreements.

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How We Did This Review

- Obtained all patrol IGAs that were active during FY 2008 – FY 2012 and determined MCSO's responsibilities under each agreement.

- Interviewed key personnel, requesting policies and procedures, and determined what controls are in place over monitoring and administration of the agreements.

- Reviewed each agreement for compliance with statutes and policies as well as required provisions within each IGA.

- Reviewed supporting documentation for all pricing calculations within city/town IGAs.

- Reconciled all patrol IGA revenue payments and reviewing supporting documentation for reimbursement or billing requests.

What We Found

- Patrol charges reasonably reflect agreed-upon costs but lack consistency

- The actual cost to provide services is not sufficiently tracked

- The Sheriff's Office is not recovering all Stadium District costs

Reasonable Assurance
Performance audits assess program effectiveness and results, operational efficiency, compliance with legal and policy requirements, and management controls. Areas we audit are selected through a risk-based approach, allocating resources to the highest risk areas. Audits can give reasonable assurance that operations and controls are functioning as intended. Absolute assurance is unattainable due to limitations in time, resources, available information, and information system capabilities. The more extensive an audit, the less cost-beneficial it becomes. Because of these limitations, it is always possible for fraud and abuse to remain undetected.

Internal Audit Plan for MCSO Audits
The audit plan summarized below is a living document and may change based on new information or changes in the control environment. The Training and Pragmatica Contracts audits are currently underway. We are awaiting MCSO's response on the Patrol IGA.

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Two auditors are dedicated to the MCSO audit area. If the Board chooses to expedite or expand the audit plan, then additional resources would be needed.

MCSO Audit Area	Resolution Item #	Actual or Planned Completion
Completed Audits		
IT Inventory (Countywide audit)	NA	Feb 2011
Purchasing Cards (Countywide audit)	NA	Apr 2011
Software Licensing (Countywide audit)	NA	Jul 2011
Vehicle Usage (Countywide audit)	NA	Dec 2011
MCSO Risk Assessment	1.01	Jan 2012
Data Centers (Countywide audit)	1.04[1]	Mar 2012
Jail Management System	1.04[1]	May 2012
MCSO Payroll	1.03	Jul 2012
Patrol IGA	1.11	Jul 2012
Payroll System – ADP (Countywide audit)	NA	Jul 2012
Network Security – Mobile Devices (Countywide audit)	1.04[1]	Jul 2012
Current Fiscal Year Audits		
Pragmatica Contracts	NA	2013
Training, including related IT applications	1.10	2013

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[1] Board Resolution Item 1.04 (IT Systems and Software Applications) – In addition to the listed Information Technology (IT) audits, the other audits will include applicable IT applications. For example, IT systems supporting MCSO Training and MCSO Property and Evidence areas will be reviewed in 2013 and 2014, respectively.

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Expenditures	1.02	2013
IT Governance	1.04[1]	2013
Future Audits		
Patrol (e.g., Investigations, Incident Response, pursuit, crime prevention), including IT	1.05	2014
Revenues, including Jail per Diem	NA	2014
Property and Evidence, including IT	1.06, 1.08	2014
Detention (e.g., Detention Centers, Intake), including IT	NA	2015
IT Security	1.04[1]	2015
Enforcement Support (e.g., SWAT, Human Smuggling units), including IT applications	NA	2016
Telecommunications (e.g., 911 Call Center, Radios), including IT applications	NA	2016
Personnel Services, including IT	NA	2016
Weapons Inventory	1.07	2017 or later
Warehouse/Surplus Operations	1.09	2017 or later

II. FINANCIAL CONTROLS

A general overview of the review completed during the 3rd Quarter 2012 follows.

2.1 – Line Item Review – *Responsible Parties: Ryan Wimmer (OMB)/Dan Campion & Lynn Adams (MCSO)*

OMB continued its review of all MCSO non-payroll expenditures. Since the Resolution, over 26,785 transactions were reviewed

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including 8,571 items from the 4th Quarter of FY 2012. To date there were 23 line-item corrections (18 fund to fund corrections; 5 Activity and/or organizational unit changes within the same fund). 11 of the 23 line item corrections were Detention Fund (255) to General Fund (100) corrections. None of the corrections were deemed significant by OMB.

In addition, OMB is reviewing payroll records to ensure that employees are being paid from the appropriate fund. For each pay period, approximately 550 payroll records are reviewed including all records in the Transportation and Court Security areas as well as a representative sample of all other areas. Eighteen pay periods were reviewed resulting in the movement of five positions from one fund to another. The materiality of this correction was minimal.

There are no areas of concern related to the line item review.

2.2 – Journal Voucher Review – *Responsible Parties: Ryan Wimmer (OMB)/Lynn Adams (MCSO)*

OMB continued its review of all MCSO journal vouchers as required by the Resolution and the Board of Supervisors action of September 22, 2010. To date, 1,182 journal vouchers were reviewed; 409 in the 4th Quarter of FY 2012. Thus far, only two journal vouchers required revision. MCSO continues to work well with OMB and is providing all data and requested information required to complete this review. There are no outstanding issues related to the journal voucher review.

III.   IT COLLABORATIVE ACTIVITIES

3.1 – Full Review of Existing IT Systems – *Responsible Parties: David Stevens and Debra Jackson (OET)/Shelly Bunn (MCSO)*

A preliminary assessment tool is being finalized that will enable MCSO functional areas to identify business critical systems for future technology investment. Outside of Resolution requirements, a more extensive quantitative analysis is being created, for potential use County-wide.

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3.2 – <u>Procurement of New Technology Systems</u> – *Responsible Parties: David Stevens and Debra Jackson (OET)/Shelly Bunn & Scott Freeman (MCSO)*

Numerous technology projects are being collaboratively worked by MCSO and OET. A detailed update on the progress of the current IT projects is provided below:

- CAD/RMS/Civil Process and Mobile System RFP (revised estimated cost of $4.6 million; $6.2 million currently in the OET-managed budget).

  o Completed the RMS Business Process Analysis (BPA).

  o All CAD/RMS hardware has been received and relocated to the MCSO 37th Avenue Data Center on June 29, 2012. Hardware configuration is in progress. Equipment is scheduled to be released to Intergraph for systems software builds on August 1, 2012.

  o Vendor interface requirements have been reviewed and approved for implementation on July 15, 2012.

  o All CAD Mapping files have been provided to Intergraph for inclusion in the systems build. Build is scheduled for completion on October, 30, 2012.

- OET is providing input to the MCSO IT staffing study draft created by MGT.

- A number of risk mitigation efforts are in progress to provide redundancy to MCSO's current Jail Management System (JMS) environment.

  o Approved contract staff augmentation request to provide back-up resources for key JMS IT support personnel, if needed.

  o MCSO obtained a JMS Disaster Recovery (DR) site Statement of Work (SOW) from Bull. The SOW is in review with OET and OPS. The existing JMS application currently resides on a Bull mainframe, making Bull a sole-source for back-up hardware. The SOW includes DR for other MCSO

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applications: Inmate Fund Canteen Services (IFCS), Pre-Booking and Send/Receive Journals.

- o A Commercially-available Off-the-Shelf (COTS) solution may be viable as a long-term solution for a JMS replacement. MCSO, in collaboration with OET and OPS, has prepared a Statement of Work (SOW) to contract a vendor to develop specifications and draft RFP for the JMS replacement. Reviews are in progress.

- A replacement of MCSO's existing jail surveillance systems ($5.7 million budgeted)

  - o Published RFP (Phase 1) on May 10, 2012. From the respondents, three (3) were short-listed for the Phase 2 RFP.

  - o Published RFP (Phase 2) to the short-listed vendors on June 12, 2012.

  - o Completed Pre-Proposal and vendor site walks on June 18-19, 2012. Following the site walks, one vendor withdrew from the RFP.

  - o Vendor proposal responses are due August 3, 2012.

  - o Proposed award date is September 26, 2012.

- South Court Tower Jail Surveillance storage expansion

  - o MCSO submitted an emergency procurement request to expand the video surveillance storage to retain seven (7) months of data. The original design only retained a couple of months of video.

  - o MCSO, OET and OPS are collaborating with the vendor, Sieman's, to expand the current storage. An expandable enterprise solution was evaluated, but deemed infeasible due to the urgency of the need.

- MCSO Admin Building and 911 Center Technology ($19 million budgeted)

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- o Ground-breaking for the MCSO Admin building (set to house the new 911 Call Center) completed in May 2012.

- o Layer 1 services to be included in Construction Manager at Risk (CMaR) Contract with DL Withers with OET visibility.

- o Design Development documents completed. Comments/feedback are currently being incorporated.

- o Development of a data migration plan of MCSO data is in progress. On-going meetings are being held to define how the legacy technology will be migrated to the new facility. Estimated completion date of the plan is December, 31, 2012.

- o Underground utilities' design has been completed.

- o MCSO, OET and WCI collaboratively working to design a network infrastructure. Estimated completion date of the design is December 1, 2012.

- o RFP for 911 dispatch consoles being reviewed by OPS. Funding for the consoles will be covered by the Radio Project fund.

- o Dispatch Furniture RFP has been delivered to OPS. Scheduled RFP publication date is August 2, 2012.

- o Logging/Recording RFP in development. Estimated delivery date to OPS of 10/30/12.

- o Radio requirements have been developed and provided to OET Radio Shop to ensure migration planning requirements are met. Estimated completion date of February, 2014.

- o Collaborating with Maricopa County Regional 911 to procure the Viper 911 phone system. Estimated completion date of October 30, 2012.

- Review of LiveScan fingerprint equipment replacement

  - o Current LiveScan equipment is nearing end-of-life. Newer technology is available from the vendor, MorphoTrak, as replacement. Current equipment is will be increasing difficult to support due to lack of replacement parts.

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o The most up-to-date model, ELSA, is awaiting Arizona certification and placement on the State procurement contract.

3.3 – Telecommunications Systems Review of Existing and New Technology – *Responsible Parties: David Stevens and Debra Jackson (OET)/Shelly Bunn and Scott Freeman (MCSO)*

OET is currently leading several technology projects that will factor into MCSO's future technology roadmap. During this quarter, the following progress was achieved:

- **New Radio Infrastructure (P25)** (estimated cost of $131 million, fully budgeted)

  OET, Office of Procurement Services (OPS) and RCC Consultants, Inc. published to the vendor community the RFP for the P25 New Radio Infrastructure on May 17, 2012. A mandatory Pre-Bid Vendor Meeting was hosted by OET/OPS on June 11, 2012. Mandatory current radio infrastructure vendor site visits were completed on June 22, 2012. Motorola was the only primary vendor to participate in these mandatory site visits. After completion of the site visits, vendor questions from both the RFP document and site visits were received by OPS until June 29, 2012. All vendor questions received were responded to by OET/OPS and RCC on or before July 13, 2012. Vendor bids are due August 31, 2012. Final contract award is scheduled for December 31, 2012.

  o **Refresh of Mobile and Portable Radios** (estimated cost of $4.06 million, covered under the New Radio Infrastructure budget)

     OET is engaged with MCSO staff to coordinate the replacement of the remaining analog portable ("on-hip") and mobile (in vehicle) radios within their fleet. For control purposes, radios are ordered in batches of 50 and processed in phases. To-date, five batches of MCSO portable radios have been ordered, delivered to OET, and currently being programmed. Two batches of mobile radios have been ordered, delivered to OET, being programmed, and four (4)

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have been deployed to MCSO cars. It is anticipated that all radios will be deployed by December 31, 2012.

As of June 19, 2012, progress by phase is as follows:

Equipment	Ordered	Delivered	Programming	Installed/ Deployed	Total Requested
Portable Radios (Handheld)	250	250	250	0	356
Mobile Radios (in-car)	100	100	100	4	244
Base Stations (in office)	0	0	0	0	19

- **VoIP conversion** (Zone 2 costs covered by 911/Admin Building budget; estimated cost of $1.1 million for Zone 3, fully budgeted)

  o Avaya is moving forward with the VoIP telephone system implementation, training and system cutover will be completed for OET Chambers users on August 23, 2012. Planning activities have started for the Office of Procurement Services (OPS) and the roll out is expected in mid-October, followed by the Medical Examiner's Office with an estimated completion date of mid-March, 2013. Additionally, Avaya will begin deploying video in the downtown campus conference rooms.

  o Costs for non-911 phone service will leverage the existing Avaya contract. This synergy allowed the repurposing of $1.7 million to an unallocated status in the 911/Administration Building technology budget.

  o Discovery meetings have taken place with MCSO and OET to review MCSO's requirements (infrastructure, phone features/functionality, integration points, locations, migration approach, etc.). A high level project timeline has been developed and the SOW is being developed with Avaya. The SOW will include adding equipment for local survivability, phone types, interfaces to other MCSO buildings and other equipment. MCSO will review and

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approve the final design/architecture and will be involved in all aspects of the planning and rollout of the VoIP/UC implementation to ensure that all of their Agency's business, functional and technical requirements are met.

- o A new website for customer communications is being created and reviewed with customers for feedback. General availability is scheduled for late August, 2012.

- **Zone 2 Upgrade** (estimated FY13 cost of $6.7 million for Downtown sites; fully budgeted; estimated FY13 cost of $9.9 million for Durango sites; fully budgeted)

  Pursuant to the Memorandum of Understanding (MOU) entered into by OET with the ICJIS stakeholders, OET continues to participate in JaLET meetings and the JaLET Security Sub-committee meetings as they relate to the Zone 2 upgrade.

  - o Downtown campus

    - Scheduled to begin September, 2012

  - o Durango campus

    - Infrastructure Study complete

    - Soliciting for CMAR and Design Services

  - o Remaining campuses

    - Project schedules are being created for the remaining campus upgrades.

IV. OPERATIONAL EFFICIENCY REVIEWS

4.1 – Vehicle Utilization – *Responsible Parties: Sandi Wilson and Rebekah Francis (OMB)/Jerry Sheridan and Scott Freeman (MCSO)*

MCSO's full review of vehicles used by staff is complete. An analysis is being performed on possible cost efficiencies to be gained by purchasing some vehicles currently leased. Those analyses will be presented when they are complete. Analysis should be complete in 1st Quarter FY 2013.

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MCSO continues to work directly with County offices to improve County-wide policies regarding vehicle usage, overnight use, and license plate destruction. A revised policy will be presented to the Board in 1st Quarter FY 2013.

4.2 – Extradition/Travel Policy and Procedure Update – *Responsible Parties: Rebekah Francis, Tristan Pico and John Shamley (OMB)/Paul Chagolla and Larry Farnsworth (MCSO)*

The county wide travel policy is complete and includes MCSO. MCSO has adopted the County's policy as well and is following it currently. There is nothing further to report on this item.

4.3 – Aviation Operations Review – *Responsible Parties: Rebekah Francis, Tristan Pico and John Shamley (OMB)/Paul Chagolla and Larry Farnsworth (MCSO)*

MCSO has completed the aviation operation manual and has begun training on its contents. A general aviation policy is in the process of being created and should be completed by the end of the next quarter review.

4.4 – Efficiency and Best Practices in Conjunction with Staffing Studies – *Responsible Parties: Lee Ann Bohn (OMB)/Jerry Sheridan and various others (MCSO)*

The four studies (Law Enforcement, Detention, HR/Finance, and IT) by MGT of America, Inc. ("MGT"), have concluded. MGT submitted their working draft of each study and have been reviewed by both OMB and the Sheriff's Office.

All four studies have been returned to MGT for further analysis. These studies should be completed and presented in Fall 2012.

4.5 – Cash Handling Procedures – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Taanya Creek (MCSO)*

The project plan was developed during the 3rd quarter of 2012 by MCSO and the contracted vendor, TouchPay. The first phase of the project will include installation of release and intake kiosks for inmates in MCSO jails. This implementation should be completed by the 2nd quarter of calendar year 2013. The second phase will address

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bonds, fines and civil collections for MCSO. The timeline for this phase has not yet been determined. The contract is estimated to provide $250-$300k in annual revenue to the County.

Beginning in August of 2012 kiosks will be placed remotely throughout the County at retail vendors to allow individuals to deposit funds for inmates within the MCSO jail system.

4.6 – **Mandated vs. Non-Mandated Service Analysis** –
Responsible Parties: Rebekah Francis (OMB)/Jerry Sheridan and Scott Freeman (MCSO)

This sub-group is reviewing the legal analysis presented by MCAO. A final report on this item is expected in 1st Quarter 2013.

4.7 – **Deployment of Time Clocks** – *Responsible Parties: Rebekah Francis (OMB)/Mike Olson and Shelly Bunn (MCSO)/ Dean Johnson and Mike Elsberry (OET)*

The initiation of live time clocks for the Detention organization of the MCSO started on May 15th 2012 and the last Detention staff to start on the time clocks was on May 25th 2012. The were no significant issues with the time clock conversions.

The physical installation of time clocks for the sworn personnel of MCSO started on June 1st 2012 and conclude on July 6th. Train the Trainer started on July 12th and ended on July13th, with actual implementation of time clock use beginning on August 6th.

MCSO requirements and recommendation for civilian employees use of time clocks was approved on July 24 with complete time clock use by MCSO in the 2nd quarter of 2013.

V.   OVERSIGHT FUNCTIONS

5.1 – **Full Cost Recovery for All Services Rendered** – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Suzanne Ashmore (MCSO)*

As stated in the last report, a meeting was held during 3rd Quarter 2012 to discuss amending law enforcement contracts for the new

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contractual period to require full cost recovery of indirect charges. It was determined that some components of the indirect cost pool may not be appropriate to charge to contracted cities and towns. The issue will be revisited again next fiscal year.

5.2 – Implementation of Subsequent Remedial Measures (SRM) – *Responsible Parties: Kathleen Kolm (Risk)/Jack MacIntyre (MCSO)*

Risk continues to meet with MCSO in this ongoing program. The program continues to work very well, with full cooperation from each Deputy Chief with whom the department has had contact. It is a perpetual process and program with which MCSO continues to fully cooperate. Since July 2011, seven (7) MCSO cases met the threshold requirements for inclusion in the SRM program and MCSO has fully executed and implemented the necessary and recommended Subsequent Remedial Measures.

5.3 – Review of Volunteer Program Structures and Related Coverage/Liability Issues – *Responsible Parties: Rebekah Francis (OMB)/Brian Sands (MCSO)*

MCSO has completed drafting the Volunteer policy and it is currently going through the internal review process. This policy should be implemented by September of 2012.

The data base of volunteers is being uploaded with volunteer information and should be current by the next quarterly report. MCSO staff will be trained on this tool the week of July 30, 2012.

5.4 – Full Strategic Business Plan Update and Metric Reporting – *Responsible Parties: Kirk Jaeger (Business Strategies)/Jerry Sheridan, Scott Freeman and Suzanne Ashmore (MCSO)*

The MCSO strategic plan was complete in November 2012. This item is complete as stated in the 1ˢᵗ Quarter FY 2012 Report.

MCSO's stated Mission, Vision and Value Statement are as follows:

- **Mission**: The Mission of the SHERIFF is to provide law enforcement, detention and crime prevention services to the public so they can be safe and secure in the community.

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- **Vision**: The Maricopa County Sheriff's Office is a fully integrated law enforcement agency committed to being the leader in establishing the standard and delivering professional quality law enforcement, detention, and support services to citizens of Maricopa County and to other criminal justice agencies.

- **Value Statement**: These are the values of the Maricopa County Sheriff's Office: 1. Encourage teamwork. 2. Communicate clearly, openly, honestly, courteously and with integrity. 3. Demonstrate a passion for excellence. 4. Be ever mindful of our duty to the tax payers to be good stewards of their money through cost effective service delivery and responsible resource management. 5. Be innovative, open to ideas, and view change as an opportunity. 6. Encourage decision making at the lowest appropriate level--be a contributor and part of the solution. 7. Adopt aggressive goals supported by timed, measurable objectives that are communicated throughout the organization. 8. Be committed to providing effective and efficient services to citizens and other recipients of service. 9. Recognize diversity and accommodate personal and professional differences while remaining focused on the Mission. 10. Value employees and maintain civility in the workplace.

5.5 – Full Update of Reporting Structure and Staff Allocation, including Specialized Units – *Responsible Parties: Lee Ann Bohn (OMB)/Scott Freeman and Bill Knight (MCSO)*

This item is being completed in conjunction with item 4.4.

VI. QUARTERLY REVIEWS

OMB, in conjunction with all Tasked Departments and MCSO, contributed to this quarterly report in response to the requirements set out in Resolution Section 6. The next quarterly report will be completed in late October 2012.

Cc: Tom Manos, County Manager
Sheriff Joseph M. Arpaio
Gerard A. Sheridan, Chief Deputy, Maricopa County Sheriff's Office